Project Name: CMS 2.0

OCIO Project #:
Department: Office of the Inspector General
Revision Date: 11/3/10

Concept Statement

Description

Brief description of the proposed project:

Currently, the Office of the Inspector General (OIG)'s Case Management System (CMS), is unsupported, outdated, cannot be expanded and is unable to meet the current or future needs of the agency. It is a Microsoft Access-based system that was never intended to serve the number of current users. It is extremely limited in its ability to link to essential California Department of Corrections and Rehabilitation (CDCR) databases. It also lacks an ability to analyze the information input into the system.

The CMS was created at a time when the OIG had only a handful of employees. The OIG now has in excess of 125 users. The OIG is comprised of three main bureaus: the Bureau of Audits and Investigations, the Bureau of Criminal Investigations, and the Bureau of Independent Review. The existing system does not have adequate reporting capabilities and management tools.

The current CMS inhibits the OIG's mission to oversee and provide transparency to the state correctional system. The state correctional system is comprised of 33 adult offender institutions, 39 camps, 13 community correctional facilities, and 5 juvenile facilities. The CDCR is responsible for approximately 300,000 offenders incarcerated or on parole and has over 66,000 employees. The annual operating budget for CDCR in FY07-08 was $9.8 billion, more than 7 percent of the state's general fund. In contrast, the OIG has five offices statewide and employs approximately 150 employees. The OIG's mission is, therefore, rather daunting given its relatively limited resources. As a result, it is extremely critical that the OIG be able to implement technological solutions for efficiently collecting, storing, and analyzing information in a manner that better enables the OIG and its three bureaus to successfully carry out their statutory missions.

Bureau of Audits and Investigations (BAI)
The BAI's mission is to perform audits and inspections of CDCR. The BAI currently uses CMS to manage its audits and inspections, with the exception of the medical inspection program, which uses its own, stand-alone database. The BAI is responsible for publishing a variety of public reports concerning waste, fraud, and abuse within the state correctional system.

Bureau of Criminal Investigations (BCI)
The BCI is responsible for conducting criminal and administrative investigations of misconduct associated with CDCR. The BCI also conducts statutorily-required background investigations on gubernatorial candidates for appointment to the position of warden. The BCI is responsible for evaluating all incoming complaints and written correspondence received by the OIG. The volume of complaints received has increased substantially over the years, making its generally paper-based process inefficient. The BCI also conducts background investigations for all potential OIG employees. The BCI also publishes public reports on a variety of systemic issues arising from alleged misconduct and inefficiencies within the state correctional system. The current CMS is not linked to critical CDCR databases and does not provide the OIG with the ability to efficiently access, combine, and analyze critical data. This significantly hampers the BCI's ability to timely investigate specific allegations of misconduct and identify systemic problems throughout the state correctional system.

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DCR's ability to timely investigate specific allegations of misconduct and identify systemic problems throughout the state correctional system.

Bureau of Independent Review (BIR)
The BIR is responsible for conducting real-time monitoring of CDCR's internal affairs' investigations and disciplinary processes. It is also responsible for publicly reporting its monitoring activities and assessments of CDCR's investigatory and discipline processes once every six months. The BIR is also responsible for monitoring CDCR's use of force incidents, and collaborating with a variety of law enforcement and prosecutorial stakeholders throughout the state concerning the investigation and prosecution of crimes committed within CDCR facilities. Originally, CMS was designed as the main case management system for both the CDCR's Office of Internal Affairs as well as the BIR. The BIR is unable to view and download some documents stored in the OIA version of CMS that are essential to the monitoring of CDCR's internal affairs' investigations; such as, digital recordings of interviews. BIR staff must make arrangements to have those documents made available using the OIG's Secure File Depot system which adds another step to the process and requires additional coordination with OIA agents. In addition, the BIR uses a standalone database for its use of force incident monitoring activities. The standalone databases are not linked to any CDCR databases or any other OIG databases.

Need Statement

High Level Functional Requirements:

High-level functional requirements include timekeeping as well as case management for audits, investigations, and monitoring activities. Additional functional requirements include project management, ad hoc reporting capabilities, tracking of information, generating correspondence, trend analysis, data retention, audit trails, and permission groups. Also needed is the ability to view and mine data from CDCR data sources, set reminders, and to generate public reports as well as create and implement assessment tools for monitoring cases and apply formulas to those assessments that will generate ratings for public reports. High level functional requirements also include the ability to confidentially exchange information with CDCR in a variety of electronic formats, expanded bandwidth to eliminate the current systems' poor connectivity issues to remote offices, and to enable the OIG to move to a paperless system, as well as efficiently work with the paperless system CDCR is currently moving toward.

What is Driving This Need?

The OIG's CMS is antiquated, and no longer supportable. The most significant of which, CMS, has limited capacity and can no longer be safely manipulated to conform to evolving business process changes. The OIG's current system cannot easily produce ad hoc reports, nor can it identify and analyze trends. A more

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conform to evolving business process changes. The OIG's current system cannot easily produce ad hoc reports, nor can it identify and analyze trends. A more technologically advanced and integrated system would enable the OIG to more efficiently process large amounts of data, to track state correctional trends, monitor CDCR internal affairs investigations, identify systemic correctional issues, and publicly report its findings, as required by statute. A new system is needed to enable the OIG to continue to fulfill its most basic mission as the oversight agency for the state correctional system. A new system would also generally enable the OIG to improve its management practices, increase efficiencies, and improve its internal accountability.

Risk to the Organization if This Work is Not Done:

The OIG will not be able to continue long-term to fulfill its mission of auditing, investigating, and monitoring the state correctional system with the inflexibility of the current CMS. As the CDCR is developing and implementing new, more advanced data systems, the OIG's ability to efficiently use data from those systems to provide oversight and transparency to the public will significantly diminish.

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Benefit Statement

Intangible Benefits

Process Improvements (describe the nature of the process improvement):

This project will enable the OIG to increase its capacity to provide the public with meaningful oversight of the state's correctional system. Increased oversight will result in the detection and prevention of considerable amounts of waste, fraud, and abuse within the state correctional system. The CDCR's budget currently exceeds $9.7 billion. Enabling the OIG to more efficiently carry out its mission will provide the people of California with greater oversight of $9.7 billion of general fund expenditures. A more efficient system will reduce the number of hours OIG employees spend on manual processes and give the OIG the ability to better compile and analyze data that is critical to auditing, investigating, and monitoring CDCR activities and reporting its findings to the public, the judiciary, and Legislature. Moving to a faster system that is paperless will improve efficiency and provide real-time access to key information.

Other Intangible Benefits:

This project will provide the OIG with a more technologically advanced and integrated system that would enable the OIG to more efficiently process large amounts of data to track state correctional trends, monitor CDCR internal affairs investigations, identify systemic correctional issues, and publicly report its findings, as required by statute. This new system is needed to enable the OIG to continue to fulfill its most basic mission as the oversight agency for the state correctional system. This new system would also generally enable the OIG to improve its management practices, increase efficiencies, and improve its internal accountability.

Tangible Benefits

Revenue Generation (describe how revenue will be generated):

It is not likely that the new system would generate revenue, as the OIG is not a revenue-generating entity.

Cost Savings (describe how cost will be reduced):

Costs savings as a result of this project include a potential reduction in expenditures by CDCR, as the OIG's capacity to identify and report waste, fraud, and abuse within the state correctional system is expanded. In addition, the new system would enable the OIG to more efficiently make systemic recommendations to the public and policymakers for maximizing the public's investment in the state correctional system, and potentially reduce its future expenditures. The new

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to the public and policymakers for maximizing the public's investment in the state correctional system, and potentially reduce its future expenditures. The new system would also streamline the OIG's current business processes, enabling staff to spend their time more efficiently on critical OIG mission activities, which would result in more meaningful public reports and recommendations for more efficient use of public funds.

The OIG's current CMS is outdated, and unsupportable and not integrated with other OIG databases. Without a long-term solution to consolidate and replace

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Cost Avoidance (describe the cost and how avoided):

This project may avoid future CDCR costs, as its completion will result in the OIG identifying and publicly reporting on wasteful spending which would likely go undetected if this project is not implemented.

The OIG's monitoring activities and medical inspections currently provide the state and the judiciary with oversight for judicial remedies stemming from class-action law suits. To the extent this project increases the OIG's ability to carry out these functions, the project will result in potential cost-avoidance by the state by providing the information necessary to remove the state from judicial oversight in a more timely manner. In addition, this project would enable the OIG to continue to fulfill its duties as a neutral monitor of CDCR's compliance with outstanding judicial orders, thus potentially reducing CDCR's future exposure to legal costs arising from class-action lawsuits.

Risk Avoidance (describe the risk and how avoided):

This project will enable the OIG to identify systemic issues within the state correctional system before they become the subject of litigation, thus minimizing the state's exposure to future litigation costs. For example, this project will enable the OIG to proactively identify significant risks to the safety and security of the state correctional system, thus helping the state to avoid lawsuits arising from injury to offenders, the public, and CDCR employees. This project will also enable the OIG to identify and assist CDCR in avoiding potential civil rights violations, further reducing the state's risk of future litigation.

Improved Services:

This project will improve OIG's communication internally, and externally with CDCR, stakeholders and the public enabling the OIG to more efficiently fulfill its oversight mission. This will improve the OIG's service to the public in providing transparency for the state's correctional system and enabling the OIG to identify systemic issues and efficiencies associated with CDCR's expenditure of approximately $9.7 billion in public funds. The new system will enable the OIG to more quickly respond to external requests for analysis and information. It will also improve the OIG's efficiency, and, therefore, enable the OIG to increase its auditing, investigating, inspecting, and monitoring activities. This project will enable the OIG to focus more of its resources on its core mission-based functions, thus improving its service to the public.

Consistency

"No" Responses →	Rationale	Action Required

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Enterprise Architecture	Yes		
Business Plan	Yes		
Strategic Plan	Yes		

Impact to Other Entities

Nature of Impact to Other Entities

Entity: CDCR

Describe the nature of the impact:

As the interface between the case management system and CDCR would be constructed to accept the inputs and produce outputs compatible with CDCR's existing systems, no negative impact is anticipated.

Entity:

Describe the nature of the impact:

Entity:

Describe the nature of the impact:

Entity:

Describe the nature of the impact:

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Solution Alternatives

Alternative 1:
Expanding the current application framework would allow the OIG to utilize existing in-house resources and integrate the existing applications into a single applications portal. Because the OIG's applications portal framework is built on top of a well-established, open-source platform, the system is low-cost and extremely flexible. Use of the open-source applications framework will allow the OIG to respond to change requests without expensive software licenses, complicated license agreements or expensive consultants. The OIG already possesses the programmer expertise with intimate familiarity with the existing applications framework. This solution will likely provide all of the needed functionality at the lowest cost.

Technical Considerations for Alternative 1:				
In-house hardware resources would be expanded. Existing free, open-source software would be used. Being web-based, this is essentially a thin-client approach. As such, it is centrally managed and updated, with no end-user roll-out required.				
ROM Cost:	$100,000	to	$200,000	**Note: high end of range must not exceed 200% of low end of range**

Alternative 2:
A Commercial Off the Shelf (COTS) software solution would likely be the most cost effective solution, but would not provide the additional features desired by OIG staff. A COTS solution could leave the OIG dependent on the software publisher for support, bug fixes and future compatibility with other systems. As infrastructure technology changes, the OIG could again be stuck with an obsolete CMS, and forced to either return to developing and in-house solution or devote additional resources to maintaining a legacy infrastructure.

Technical Considerations for Alternative 2:
New hardware infrastructure required for serving, storage, and archiving of data.

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ROM Cost:	$70,000	to	$140,000	**Note: high end of range must not exceed 200% of low end of range**

Alternative 3:

Adopting the CDCR's Case management system would likely require a comprehensive re-write of the CDCR application in order to adapt the application to the OIG's environment and to meet the OIG's business needs. Adopting the CDCR application would also require a significant commitment of time for both CDCR and OIG programming staff in order to evaluate the feasibility of adopting the application to meet the needs of the OIG. The OIG would need to make a significant investment in new software licenses for development, client licensing and server licensing. OIG programming staff would also need to be trained in the proprietary Microsoft development technologies adding to the cost of the project.

Technical Considerations for Alternative 3:

New hardware infrastructure required for serving, storage, and archiving of data. Training of developers in Microsoft development environment required. As a .Net thick-client solution, there are technical drawbacks, compared to the open-source framework thin-client approach. Management is more difficult: changes must be pushed or rolled out to end users. Data transmission is slower, and consumes more bandwidth and local hard disk space, as all of the data is being transferred back and forth, not just the interface data.

ROM Cost:	$140,000	to	$280,000	**Note: high end of range must not exceed 200% of low end of range**

Recommendation

Comparison:

Alternative 1	ROM Cost			Risk
In-house framework expansion	$100,000	-	$200,000	*Reliance on retention of in-house resources*
Alternative 2	**ROM Cost**			**Risk**
Commercial Off The Shelf	$70,000	-	$140,000	*Dependence on third-party platform support*
Alternative 3	**ROM Cost**			**Risk**
Modified CDCR CMS	$140,000	-	$280,000	*Dependence on third-party platform support; extensive*

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Conclusions:

1	Option 1: Up-front cost is higher than Option 2, but there are no new licenses, no training required, and no recurring costs; result would be ideal
2	Option 2: Lower initial cost, but smaller chance of product meeting all needs; cost will vary based on customization required; recurring support fees
3	Option 3: Worst of all worlds - this solution incurs the new hardware cost of a COTS, plus the development effort to customize to OIG needs; also
4	

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Recommendation:

We recommend the expansion of the existing open-source framework. The system is proven and already understood by the developers and the end-users. This option has the highest likelihood of meeting all project needs, and is supportable indefinitely. The thin-client nature of this solution allows for maximum flexibility and ease of management; improvements and bug fixes would be transparent to end users, and client version control would be a non-issue.

Project Approach *(if known)*

System Complexity:				System Business Hours: *(e.g., 24x7, 9am-5pm) :*	Business Hours	
Architecture	☐ Mainframe	☐ Client Server	☑ Web Based		Num. of New Databases:	
Technology	☐ New	☐ New to Staff	☑ In-House Experience		Interfaces:	Internal
Implementation	☑ Central Site	☐ Phased Roll-out			Num. of Sites:	
M & O Support	☐ Contractor	☐ Data Center	☐ Project	☑ In House		
Procurement Approach: Proven Free Open Source Linux Apache MySQL PHP solution					Number of Procurements:	
Open Procurement?		Delegated Procurement?				
Scope of Contract	☐ Development	☐ Implementation	☐ M & O	☑ Other: In-house resources		
Anticipated Length of Contract:		Years /	extensions for	years		